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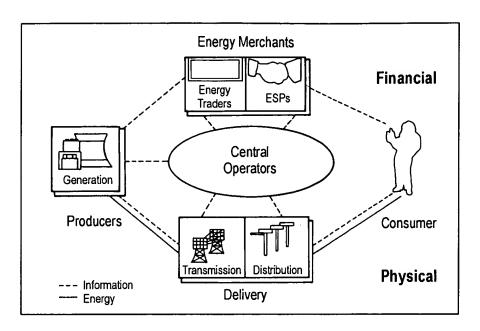


Fig. 1

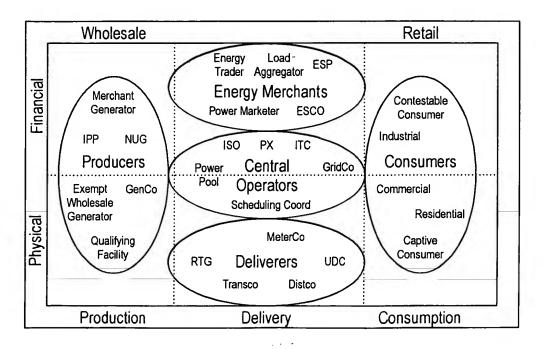
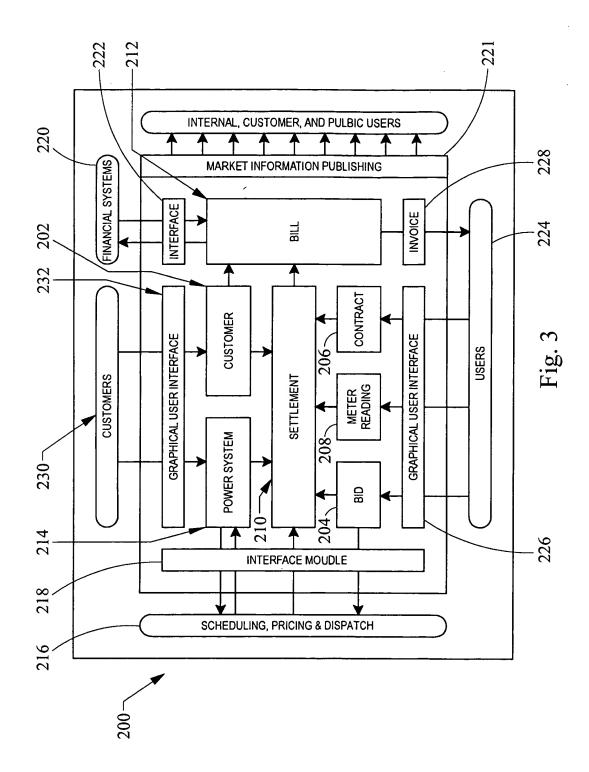


Fig. 2

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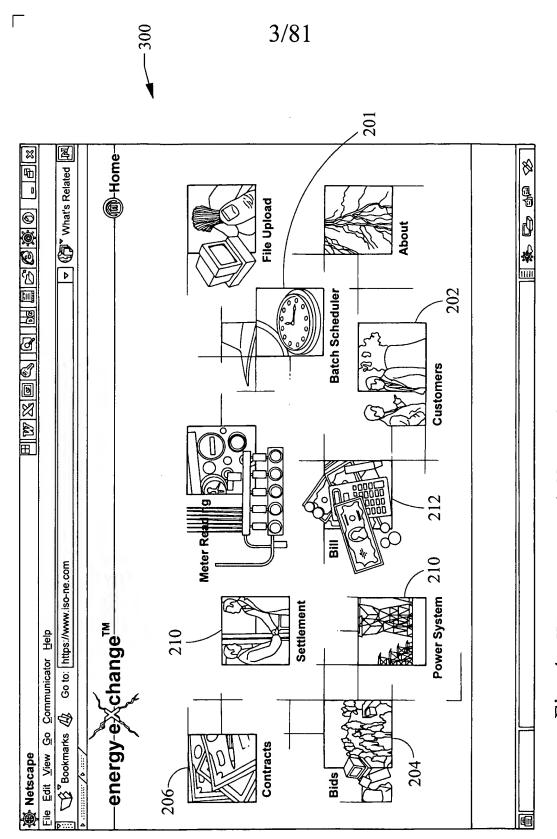


Fig. 4 - Home page as seen in Netscape browser

Г 4/81 Fig. 5 -Home 4 D Bill About Mustang Retail Co. Rolls Royce Utility Cadillac Gen Co. 11/10/1998 1. Enter Customer Search Criteria Participant: Cadillac Gen Co. Name 11111 웅 O Customer Name Bids Customers 3. Select Customer O Customer ID Identifier Find As of: Maintenance 888 7 Resource Characteristics Bids Meter Readings Power System Nov 12, 1998 - Nov 21,1998 Dec 1, 1998 - Sep 1, 1999 Date Range Capability Go to: https://www.iso-ne.com File Upload Settlement Reserve energy-ei≪change™ File Edit View Go Communicator Help 12:00 12:00 12:00 12:00 12:00 12:00 Nov 10, 1998 AGC Operable Capability Market **Bid Submission Deadlines** Installed Capability Market Resource Characteristics Bid Information Energy 3 Reserve market Contracts Batch Scheduler Bookmarks **Energy Market** Current Date: **AGC Market** Mr. Netscape

5/81 -Home-Ф Þ Bill About Bids Customers Maintenance Resource Characteristics Bids Meter Readings Power System Capability Go to: https://www.iso-ne.com File Upload Settlement Reserve energy-e¾change™ Communicator Help AGC Reset Next O Dispatchable Load Energy 1. Select Bidding Action 3. Select Dispatch Date 4. Choose Unit or Load Create new bid from scratch 2. Select Type of Bid Clear All 3 Contracts Batch Scheduler File Edit View Go Bookmarks AVALANCHE GAS Bid Information Helper Nov 12, 1998 ★ Netscape Submit O Unit Normal Start

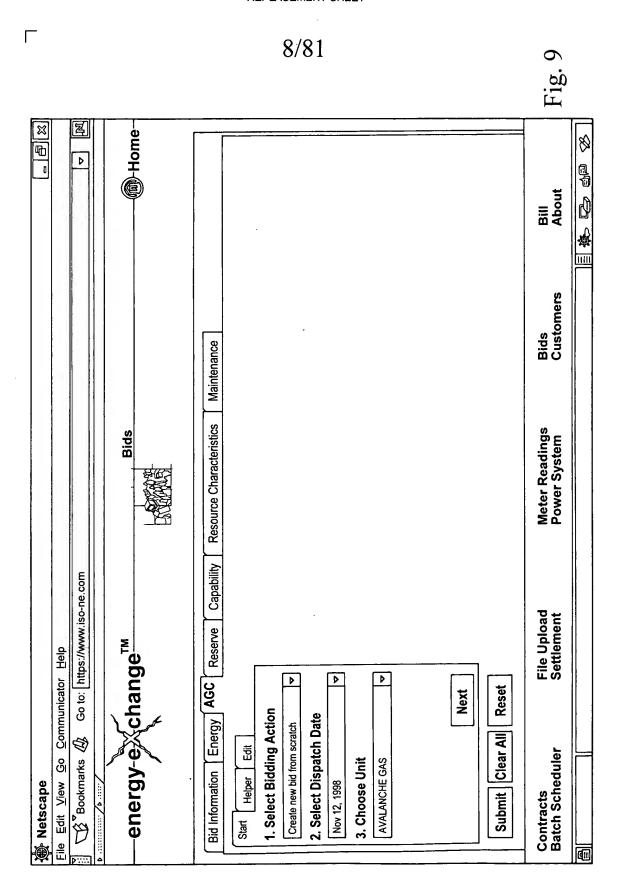
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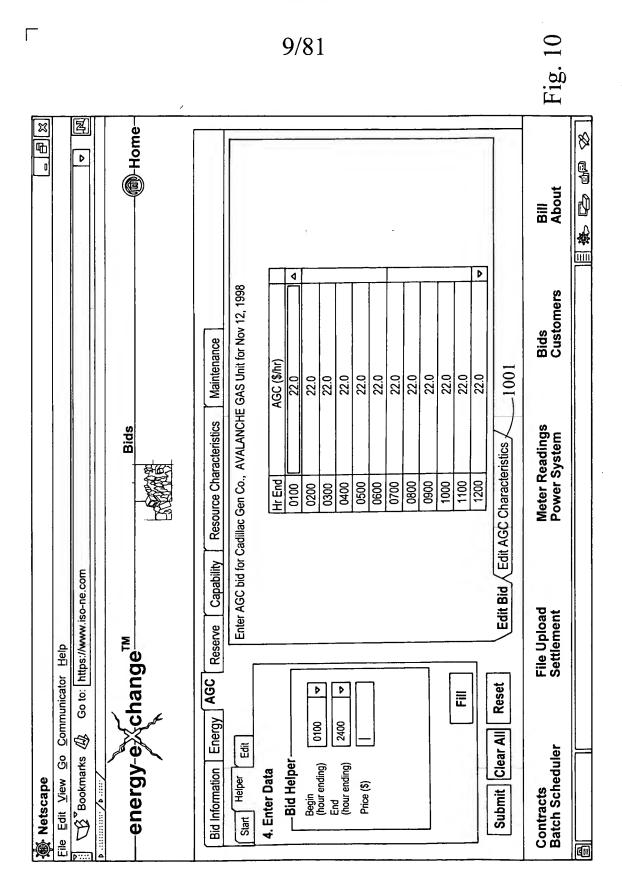
国 -Home Ф Total 534 D 4 Þ Bill About 534.0 Seasonal Claimed Capability (MW) Bids Customers Enter Normal bid for Cadillac Gen Co., AVALANCHE GAS Unit for Nov. 12, 1998 Maintenance 25.0 25.0 25.0 25.0 25.0 25.0 25.0 25.0 25.0 25.0 \$3 Resource Characteristics Meter Readings Power System Bids 15.0 15.0 15.0 15.0 15.0 15.0 15.0 15.0 15.0 15.0 0.09 8 4 로 534 534 쫎 534 534 534 534 52 Claimed Low Limit (MW) 걸 8 8 8 8 8 8 88 8 8 Capability Go to: https://www.iso-ne.com SS 0 File Upload Settlement H End 00/0 0060 1000 0500 0300 940 0200 0090 0800 0100 Reserve energy-e््रchange™ Communicator Help AGC Reset ≣ Energy 0100 2400 Clear All 3 Contracts Batch Scheduler Edit View Go T Bookmarks Block Selection Bid Helper Begin (hour ending) End (hour ending) Amount (MW) Bid Information 4. Enter Data Grid Column Helper Bid Block 🏟 Netscape Price (\$) Submit Start

 Γ 7/81 Fig. 8 **3** Home-4 Total 534 D Bill About 534.0 _ _ _ Seasoniai Cialines Capability (ININ) ١ ٥ Þ Bids Customers 乡 Save Meter Readings Power System Bids 2.v Asset Identifier: 101 AssetType: Generating Unit Date: Nov 12, 1998 Submitted on: Tue Nov 10 17:39:41 EST 1998 CIGILISO LOW LITTE (INIVA) Validation Message: Validation successful Process Message: Processing Successful PC Energy Bid Submission Confirmation Go to: https://www.iso-ne.com Validation Status: Success Signed by: ISO New England Process Status: Success File Upload Settlement energy-e∭change™ Communicator Help Reset 4 Clear All 1 Ene 폆 Contracts Batch Scheduler Bookmarks Bookmarks File Edit View Go Block Selection Begin (hour ending) End (hour ending) Amount (MW) Bid Information 4. Enter Data Grid Column Helper Bid Block M Netscape Price (\$) Submit

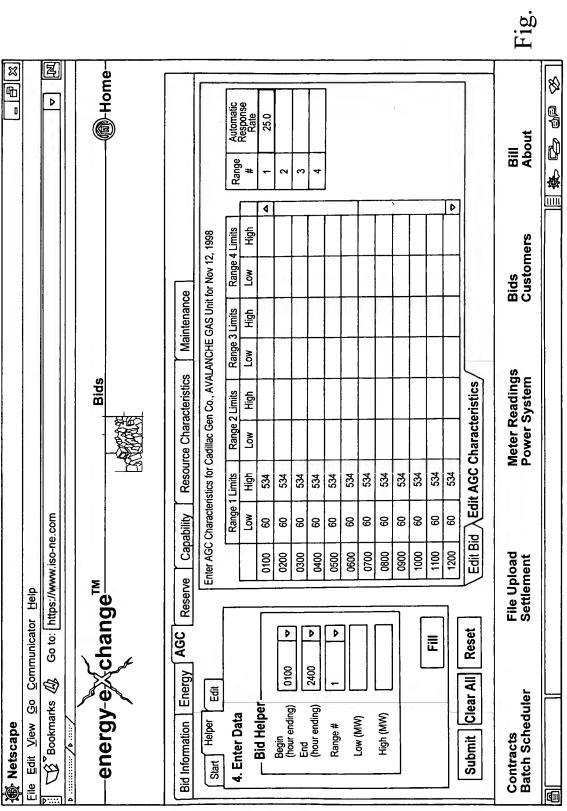
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Serial No. 09/421,713





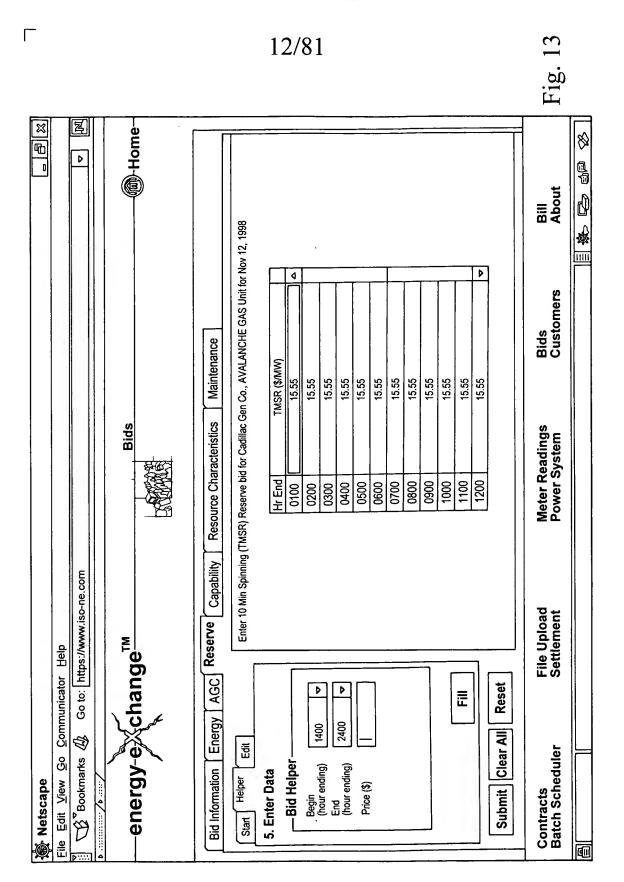
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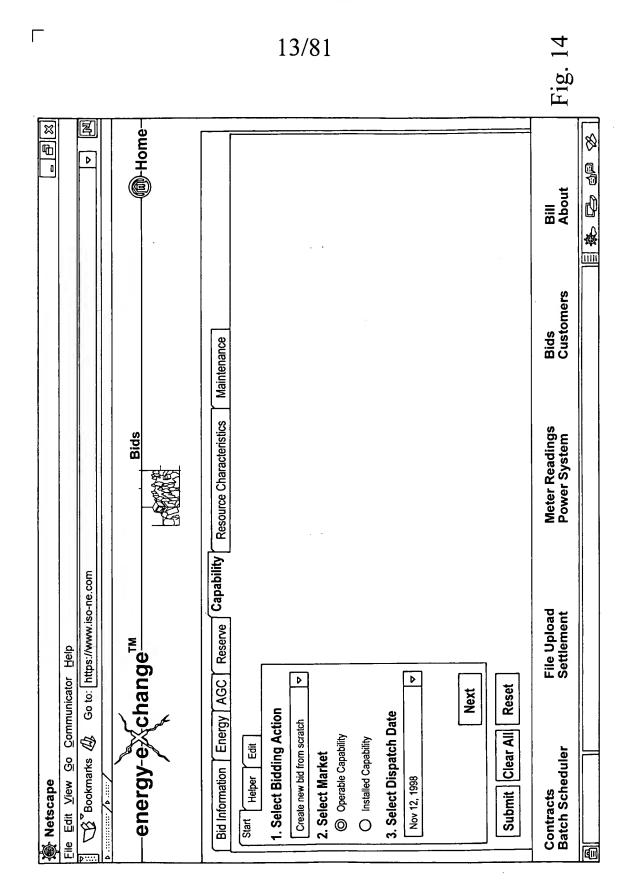


Patent Application for: METHOD AND SYSTEM FOR FACILITATING, COORDINATING AND MANAGING A COMPETITIVE MARKETPLACE

Inventors: LARRY A. WINTER et al.
Attorney Docket No. 10022/415 Serial N
REPLACEMENT SHEET Serial No. 09/421,713

Γ 11/81 -Home 4 Þ Bill About Bids Customers Maintenance Bids Resource Characteristics Meter Readings Power System Reserve Capability Go to: https://www.iso-ne.com File Upload Settlement energy-e्∭change™ Communicator Help - AGC 2. Select Type of Reserve Bid Reset Next O Dispatchable Load 1. Select Bidding Action 3. Select Dispatch Date 4. Choose Unit or Load Bid Information | Energy Create new bid from scratch Clear All 10 Min Spinning (TMSR) 1 펺 Contracts Batch Scheduler File Edit View Go AVALANCHE GAS Bookmarks Helper Nov 12, 1998 Netscape Submit O Unit Start

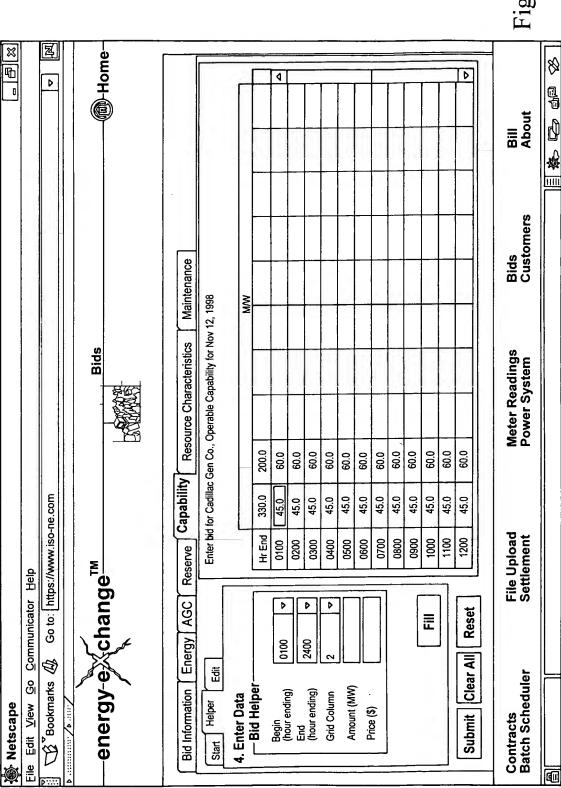




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Fig. 15

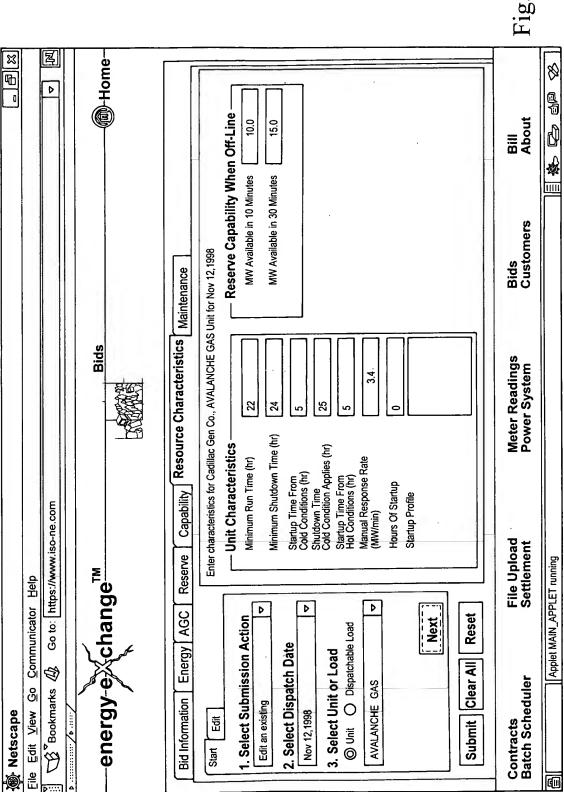


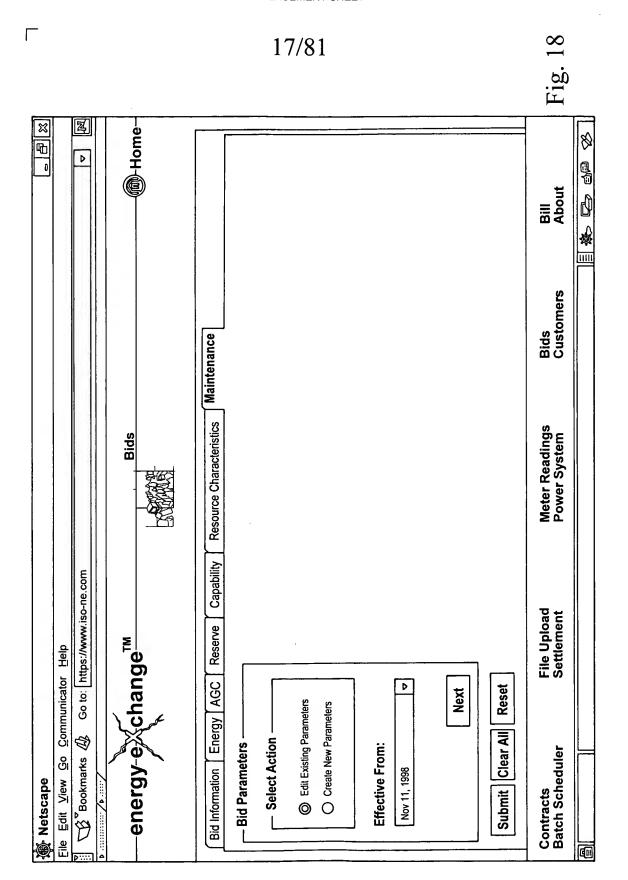
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15/81 图 -Home 4 D Bill About Bids Customers Resource Characteristics Maintenance Bids Meter Readings Power System Capability Go to: https://www.iso-ne.com File Upload Settlement Reserve energy-e्≪change™ Communicator Help Energy | AGC Reset Next 1. Select Submission Action Unit Dispatchable Load 2. Select Dispatch Date 3. Select Unit or Load Clear All 3 Contracts Batch Scheduler AVALANCHE GAS Eile Edit View Go Bookmarks Bookmarks Bid Information Edit an existing Netscape Nov 12,1998 Submit Start

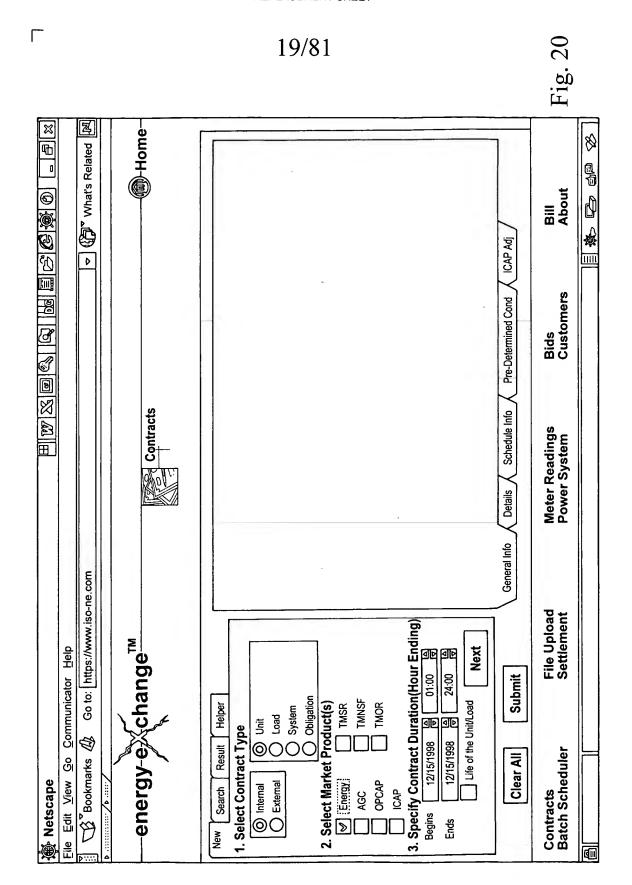
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Г 18/81 国 -Home 4 D 25.0 Bill About 9 9 Nov 11, 1998 南 Maximum High Operating Limit percentage over Seasonal Claimed Capability Make Modification Effective From: Other Parameters Number of Advance Bids that can be submitted Bids Customers Number of Prior Bids that can be retrieved Nov 17, 1998 Maintenance <u>.</u> و Resource Characteristics **4**D **ap** 10 **4** Þ **ap** Meter Readings Power System Bids 12:00 12:00 12:00 12:00 12:00 00:00 Bid Submission Deadline Nov 10, 1998 Operable Capability Market Installed Capability Market Reserve Market Resource Characteristics Capability **Energy Market** Effective From: AGC Market Go to: https://www.iso-ne.com File Upload Settlement Reserve energy-e∭change™ Communicator Help Bid Information | Energy | AGC D Reset Next Control Existing Parameters O Create New Parameters Submit | Clear All Select Action -4 **Bid Parameters Effective From:** Contracts Batch Scheduler တို Bookmarks Nov 11, 1998 File Edit View M Netscape



Γ 20/81 -Home (内) What's Related 4 With Pre-Determined Condition (for ext. purchase) Bill About <u>©</u> Ð 南 ICAP Adj D Ш Bids Customers Reference ID 12345) (1) Pre-Determined Cond Non-Standard ID ICAP Contract ID 8 Schedule Info Contracts Þ Meter Readings Power System Mustang Retail Co. Not Applicable to Hydro Quebec Cadillac Gen Co. Details Hydro-Quebec Contract ID General Info Seller Buyer Go to: https://www.iso-ne.com File Upload Settlement 3. Specify Contract Duration(Hour Ending)
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Patent Application for: METHOD AND SYSTEM FOR FACILITATING, COORDINATING AND MANAGING A COMPETITIVE MARKETPLACE

Inventors: LARRY A. WINTER et al.

Attorney Docket No. 10022/415 Serial No. 09/421,713

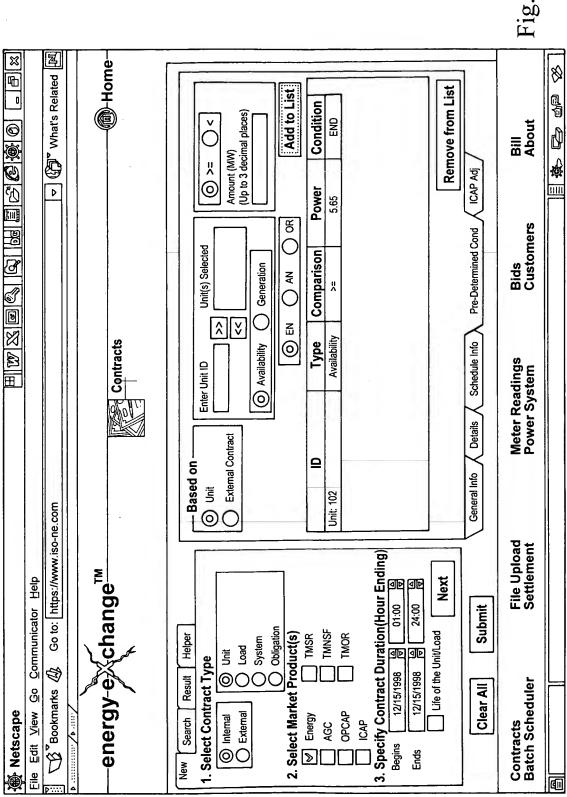
REPLACEMENT SHEET

21/81 -Home-8 What's Related Bill About 6 幣 ICAP Adj 1111 D Bids Customers Pre-Determined Cond ď (Percent carried to 4 decimal places, e.g. 80.1234) AVALANCHE GAS Schedule Info Enter Asset Contract Details: Meter Readings Power System 25.5 Details Asset Percentage (%) Asset Name General Info Go to: https://www.iso-ne.com File Upload Settlement 3. Specify Contract Duration(Hour Ending) energy-e्≪change™ Next File Edit View Go Communicator Help वाब वाब 01:00 24:00 Submit Unit
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Patent Application for: METHOD AND SYSTEM FOR FACILITATING, COORDINATING AND MANAGING A COMPETITIVE MARKETPLACE

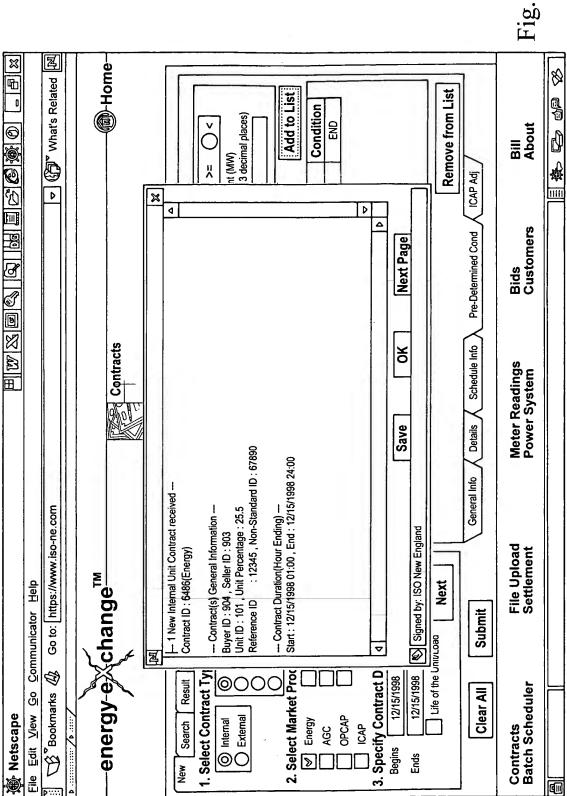
Inventors: LARRY A: WINTER et al.
Attorney Docket No. 10022/415 Serial N
REPLACEMENT SHEET Serial No. 09/421,713

22/81



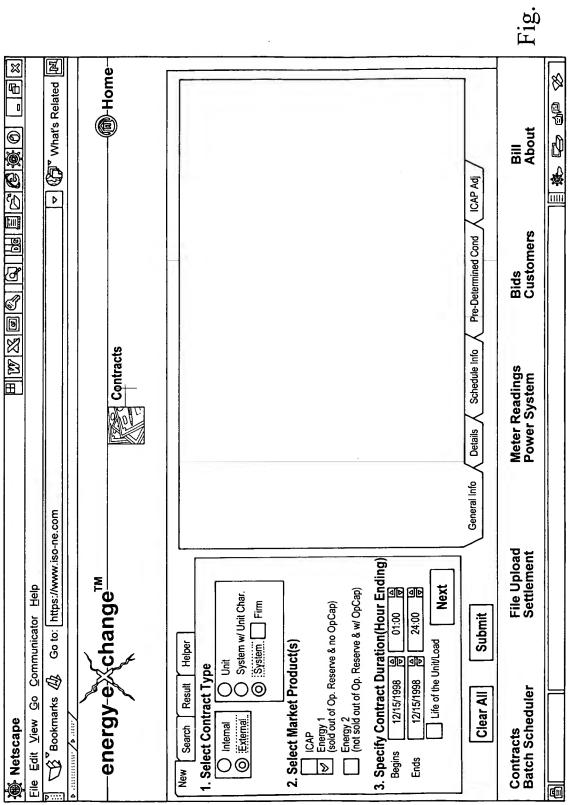
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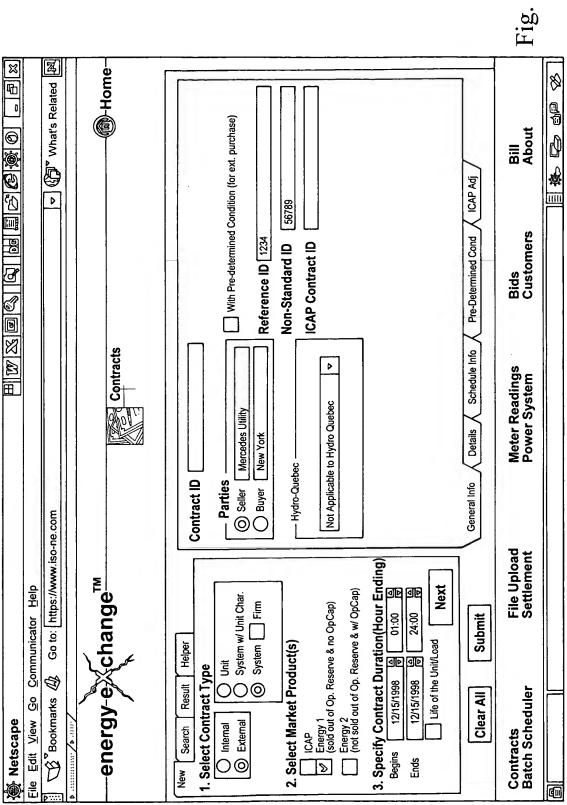


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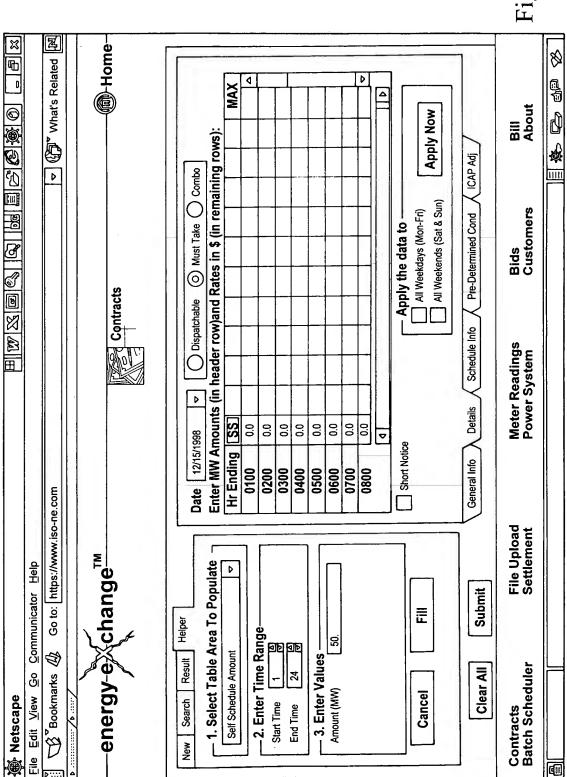
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Fig. 27



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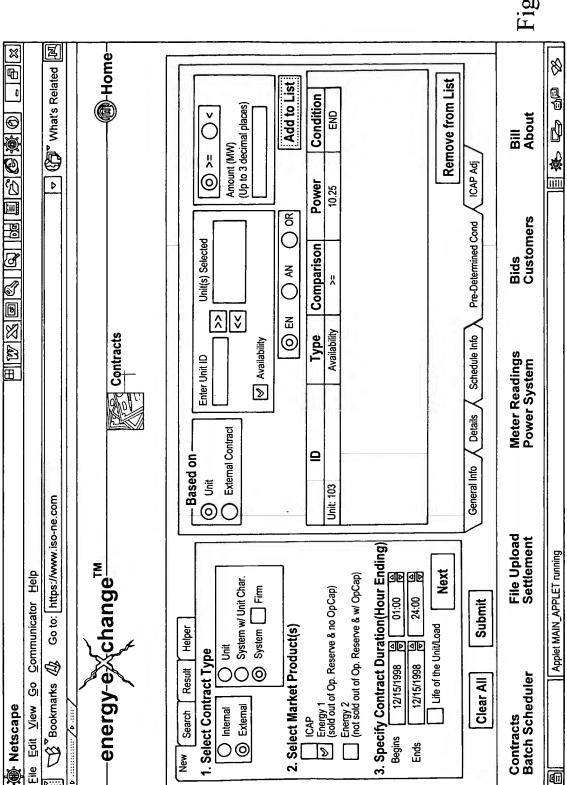
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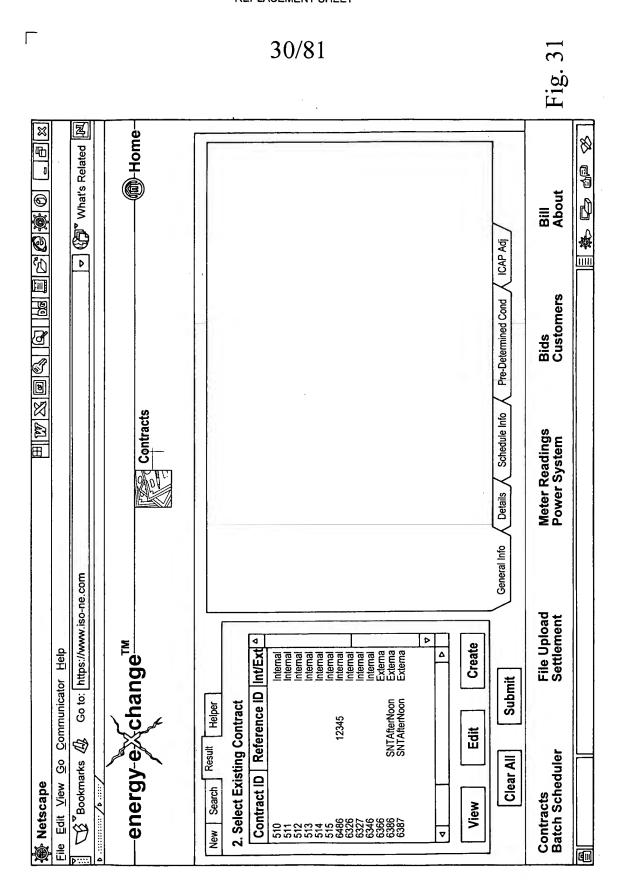
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Fig. 29



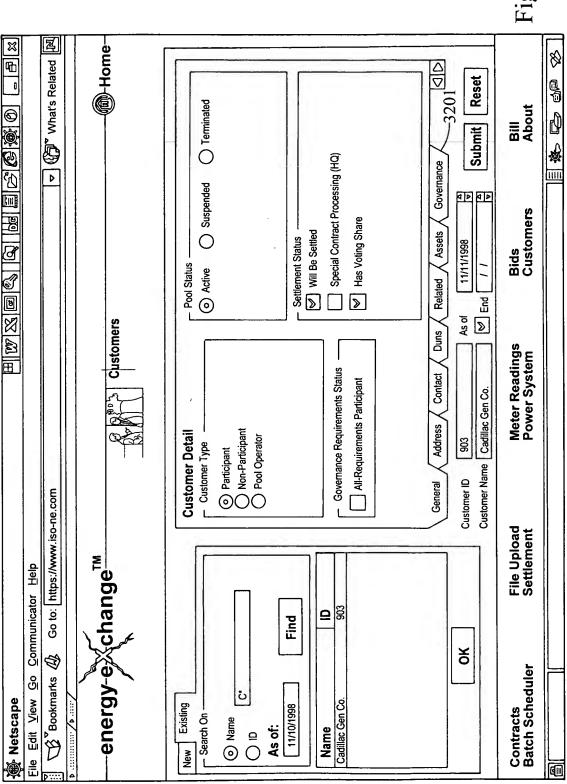
29/81 -Home (引 What's Related Bill About ICAP Adj D Bids Customers Pre-Determined Cond Schedule Info Meter Readings Power System Details General Info Go to: https://www.iso-ne.com File Upload Settlement System Firm energy-e∭change™ Communicator Help Find এচ বচ Obligation Submit Chiit Helper 1. Select Search Criteria Energy Type O Internal Choose at least one: 1 , **Optional** : Result Buyer Nm Contracts Batch Scheduler Begins Ends Clear All Market Product File Edit View Go Bookmarks Reference ID Contract ID Search M Netscape Duration ☐ Party 9



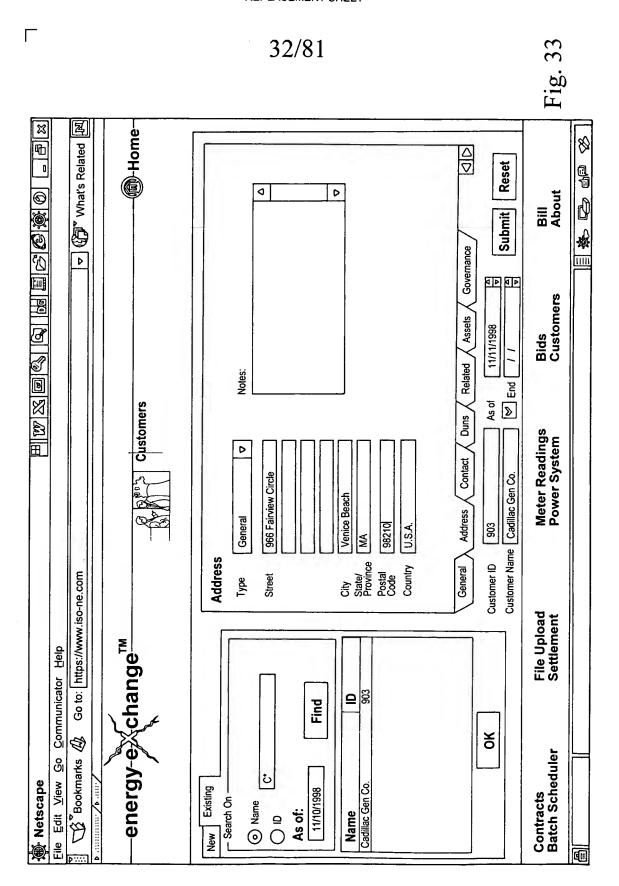
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Fig. 32



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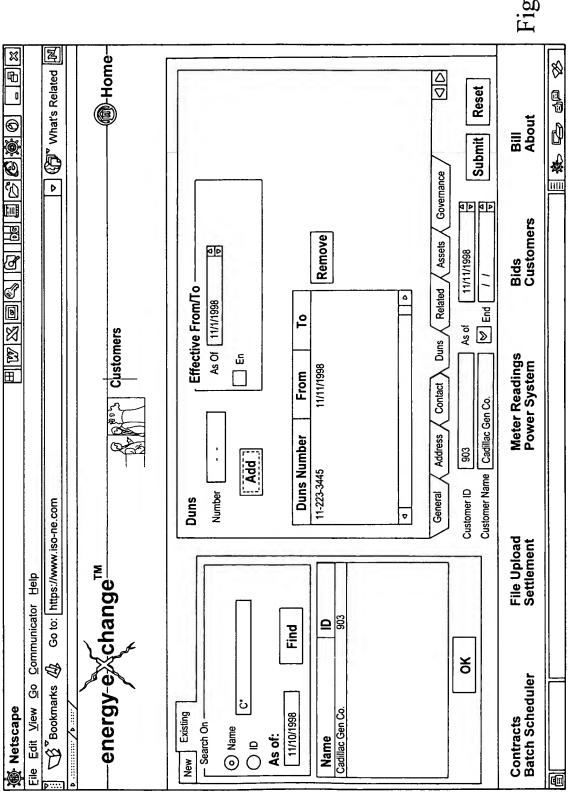


Г Fig. 34 33/81 × € -Home 83 What's Related ∇ Reset Bill About D ٥ Submit Governance D 90 90 Bids Customers Related Assets Notes as of Nov 8 11/11/1998 Notes: End As of D Customers Duns / 23 D D Meter Readings Power System Ĕ company@cadillac.com Contact Cadillac Gen Co. (203)888-8888 (816) 45-2600 Address > Carpenter General Meyers Natalie 903 Customer Name Last Name First Name Salutation Contact General Customer ID Phone e Mail Go to: https://www.iso-ne.com Type Title Еã File Upload Settlement energy-e∭change™ Communicator Help **©** 8 Find 숭 3 Contracts Batch Scheduler File Edit View Go Bookmarks Metscape Existing 11/10/1998 Cadillac Gen Co. Name - Search On As of: Name New

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Fig. 35



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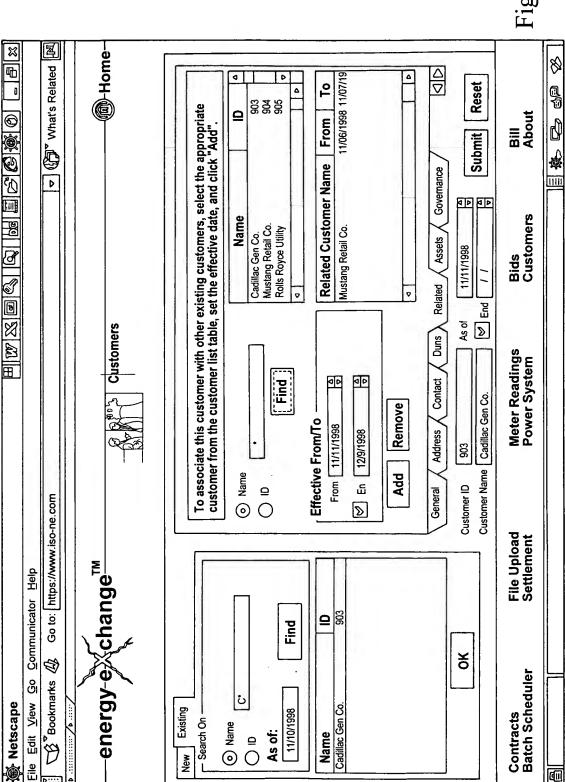
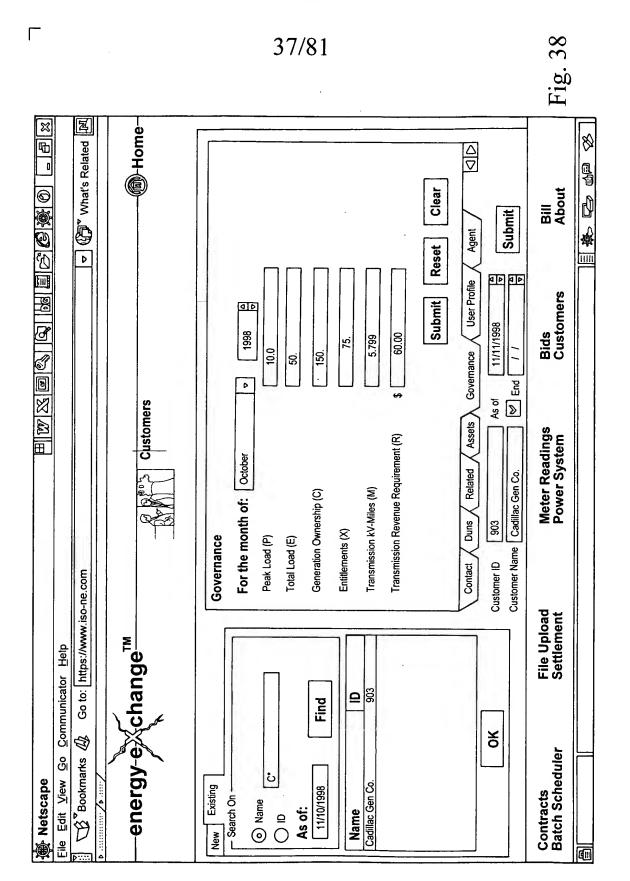


Fig. 36

Patent Application for: METHOD AND SYSTEM FOR FACILITATING, COORDINATING AND MANAGING A COMPETITIVE MARKETPLACE Inventors: LARRY A. WINTER et al. Serial No. 09/421,713

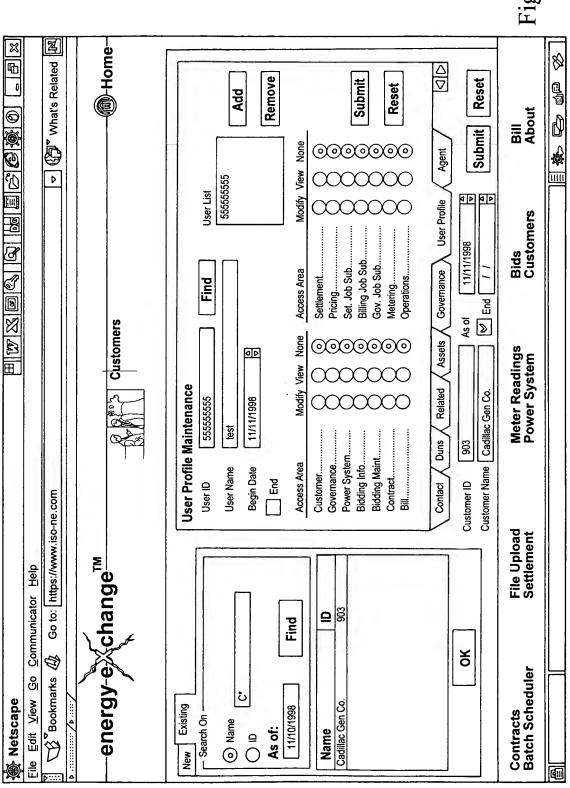
Attorney Docket No. 10022/415 Ser REPLACEMENT SHEET

Г 36/81 翠 -Home 8 Ф (引 What's Related \triangle Reset % Owned Bill About 40.0 5.0E-4 19.00001 80.9999 Submit 南 Type of Responsibility Governance Lead Participant/ Meter Reader ٥ 1111 90 90 Bids Customers For additional information or to assign an asset, go to Related X Assets 11/11/1998 Load Facility Generating Unit Load Facility Generating Unit ם As of > Customers Duns / Meter Readings Power System "Power System Maintenance" Contact Cadillac Gen Co. PANTHER P/S PUMP AVALANCHE GAS MIGHTY DUCK LOAD PANTHER P/S LOAD Address , 903 **Asset Name** Customer Name Customer ID General Assets Go to: https://www.iso-ne.com File Upload Settlement energy-e∭change™ Communicator Help ₽ Find Š 3 Contracts Batch Scheduler File Edit View Go Bookmarks 🏽 Netscape Existing Cadillac Gen Co. 11/10/1998 O Name - Search On As of: Name <u>□</u> New



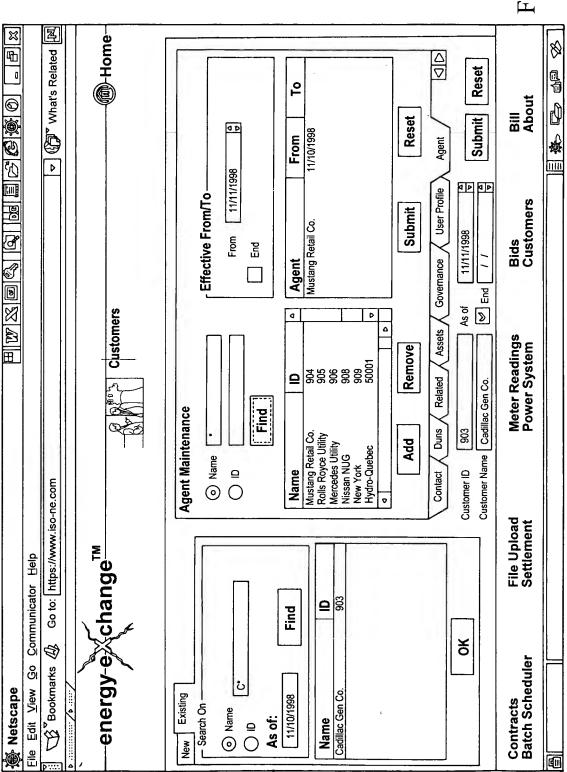
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Fig. 40

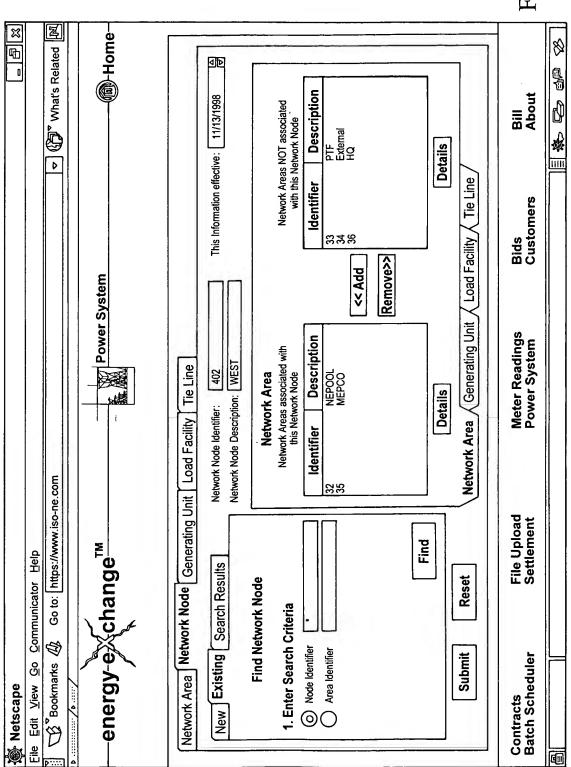


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 \Box 40/81 Fig. 41 日窓 (同" What's Related [函 -Home Description Bill About This Information effective: 11/13/1998 帝面 Network Nodes NOT in this Network Area HOIC HO MEPCO NY D Identifier Bids Customers **\$**5\$\$\$\$ Remove>> 4101 << Add Power System Description Meter Readings Power System Network Nodes in this NEPOOL Network Area Network Node Generating Unit Load Facility Tie Line **Network Area** PTF WEST EAST 33 Vetwork Area Description: Network Area Identifier: Identifier **5**45 Go to: https://www.iso-ne.com File Upload Settlement energy-e््रchange™ 엉 Communicator Help Description Search Results Reset NEPOOL PTF External MEPCO HQ Search Results 2. Select Network Area 3 Submit Contracts Batch Scheduler Existing Identifier Eile Edit View Go Bookmarks Bookmarks Metscape New 88888

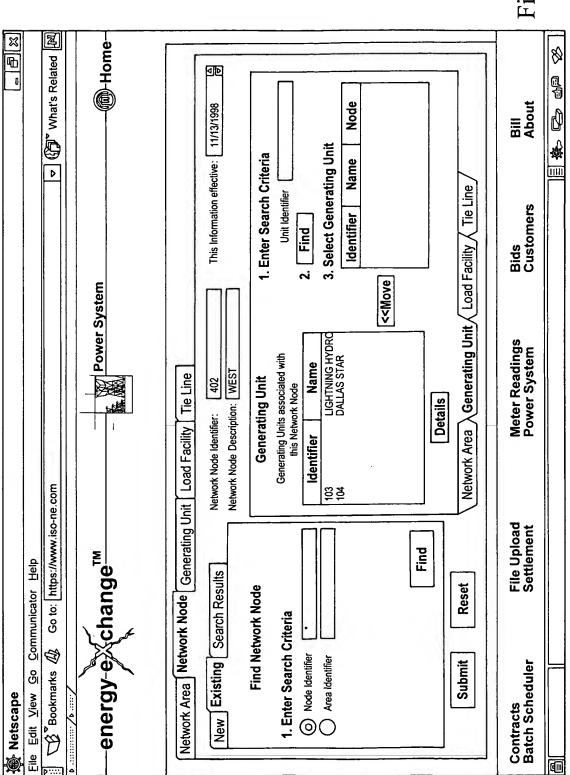
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Fig. 43



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Attorney Docket No. 10022/415 Ser REPLACEMENT SHEET

 Γ Fig. 44 43/81 翠 -Home 8 4 What's Related 10 Node Bill About 11/13/1998 0 \$ 1. Enter Search Criteria Name This Information effective: | 3. Select Load Facility 1111 Þ Load Identifier Tie Line Bids Customers Identifier Find Network Area AGenerating Unit Load Facility Power System <<Move MIGHTY DUCK LOS HURRICANE LOAD COYOTE LOAD 402 Losses Meter Readings Power System Load Facilities associated with this Network Node Name Network Area Network Node Generating Unit Load Facility Tie Line Network Node Description: WEST 402 Load Facility Details Network Node Identifier: Identifier 202 1402 1402 Go to: https://www.iso-ne.com File Upload Settlement Find energy-e∭change™ Communicator Help Existing | Search Results Reset Find Network Node 1. Enter Search Criteria O Node Identifier
O Area Identifier 3 Submit Contracts Batch Scheduler Edit View Go Bookmarks M Netscape New

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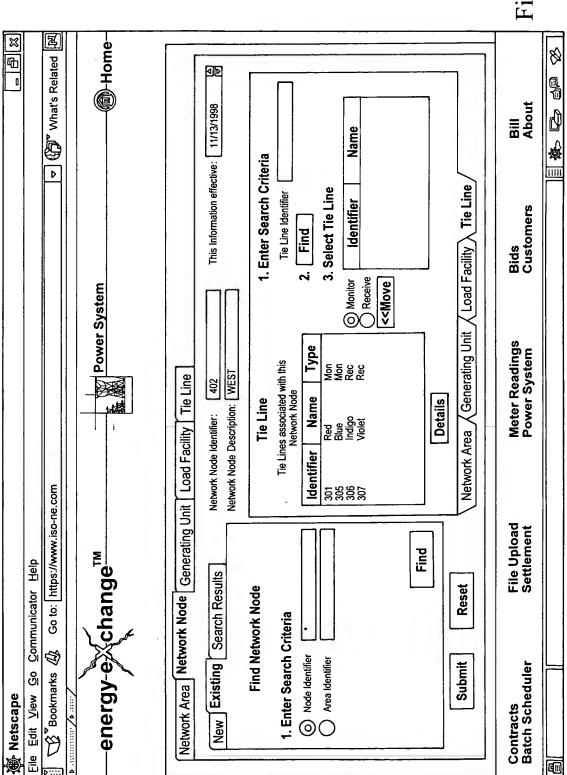
Patent Application for: METHOD AND SYSTEM FOR FACILITATING, COORDINATING AND MANAGING A COMPETITIVE MARKETPLACE

Inventors: LARRY A. WINTER et al.
Attorney Docket No. 10022/415 Serial N
REPLACEMENT SHEET Serial No. 09/421,713

44/81

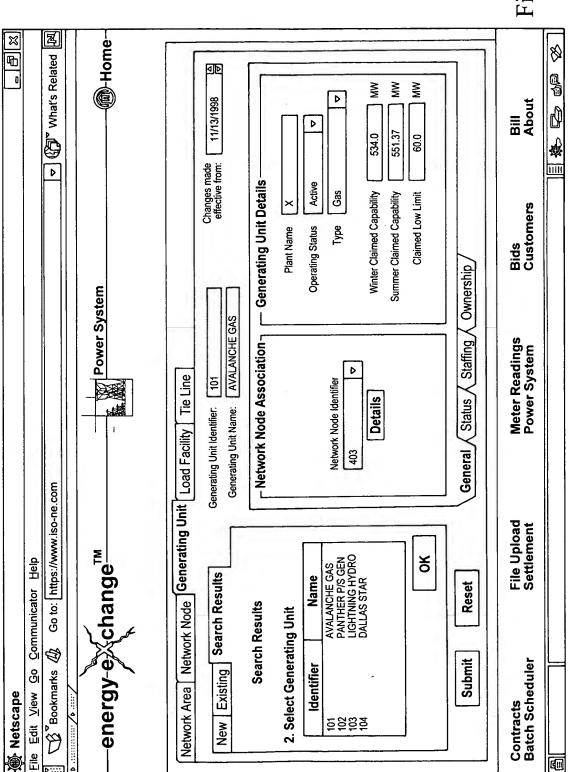
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Fig. 45



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Fig. 46

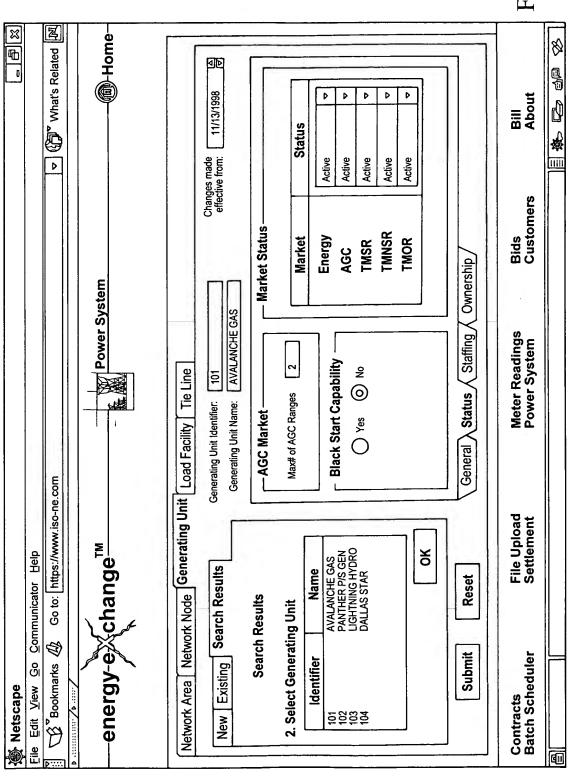


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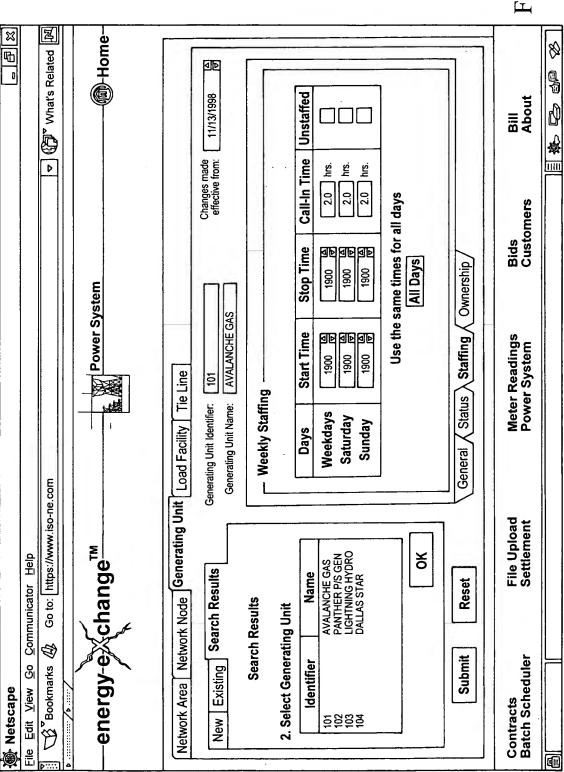
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Fig. 47



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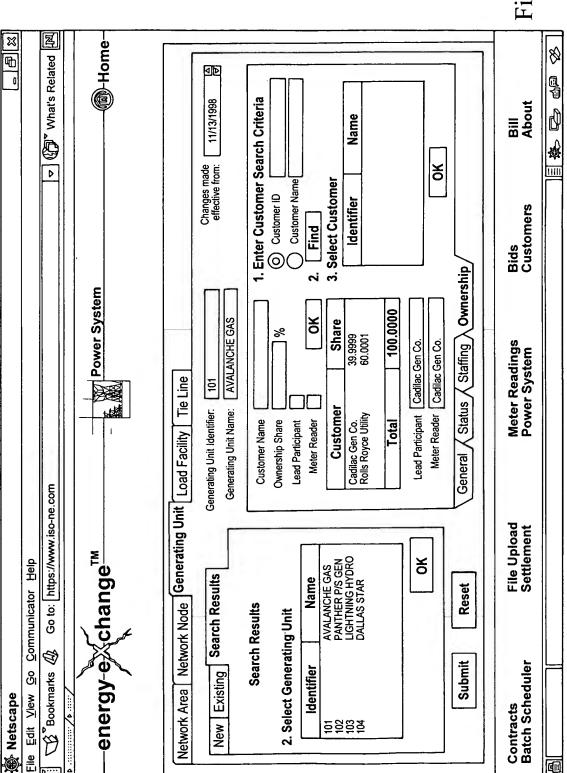
Fig. 48



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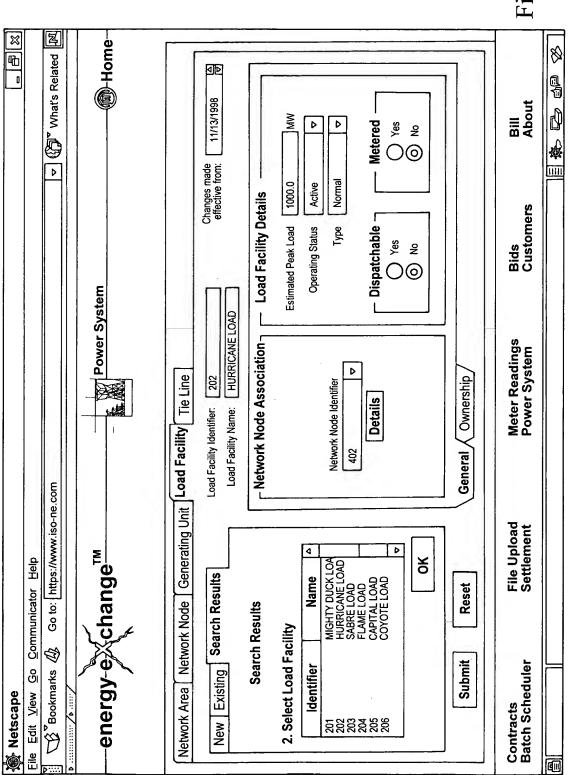
83 Bill About 0 藥 1111 Bids Customers Meter Readings Power System File Upload Settlement



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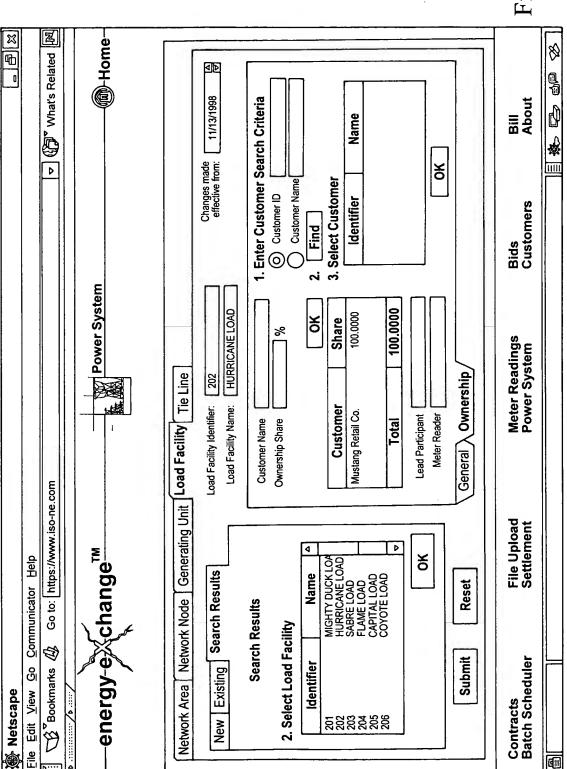
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Fig. 50



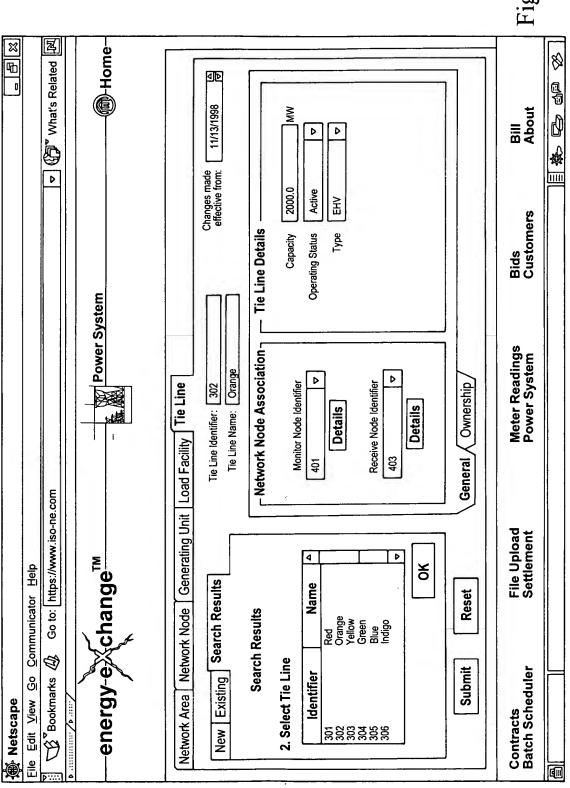
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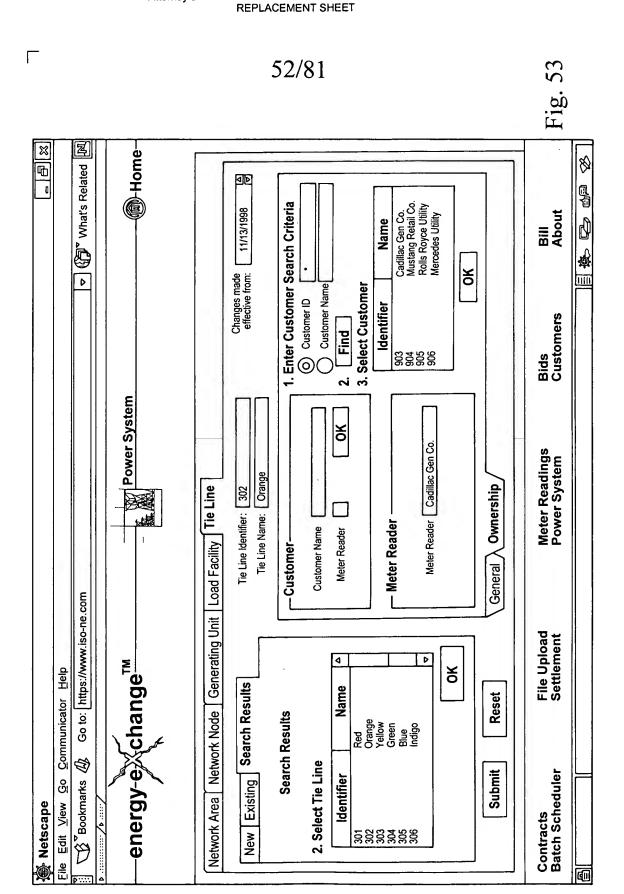
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Fig. 52





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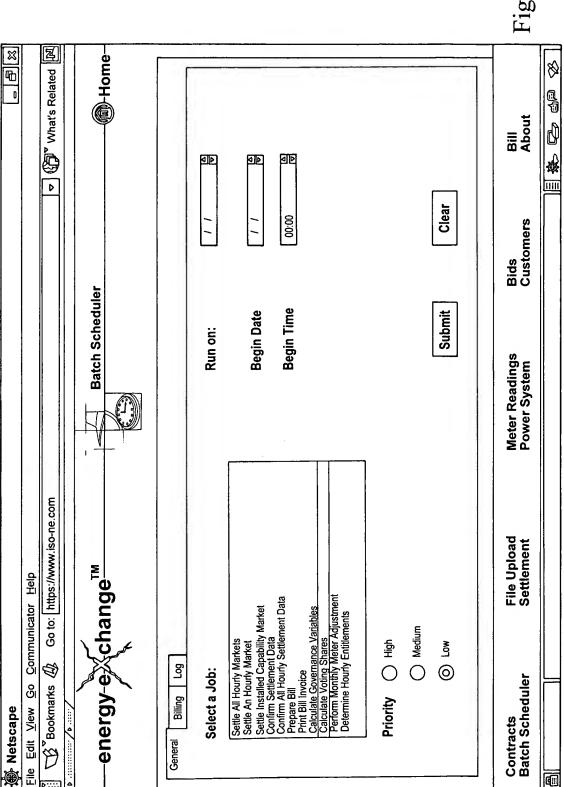
53/81 Bill About

国 -Home What's Related 喇 AGC TMSR TMNSR TMOR Operable Capability Þ Clear Energy Energy 00:00 Bids Customers **Batch Scheduler** Market Service **Begin Time** Submit **Begin Date End Date End Time** Run on: Meter Readings Power System Go to: https://www.iso-ne.com File Upload Settlement energy-e∭change™ Communicator Help Settle Installed Capability Market
Confirm Settlement Data
Confirm All Hourly Settlement Data
Prepare Bill
Print Bill Invoice
Calculate Governance Variables
Calculate Voting Shares
Perform Monthly Meter Adjustment
Determine Hourly Entitlements ○ Medium Ŏ Ē Settle All Hourly Markets Settle An Hourly Market § ⊙ B Billing Log Select a Job: Contracts Batch Scheduler File Edit View Go TR Bookmarks Priority 斄 Netscape General

REPLACEMENT SHEET

Γ 54/81 -Home 18 о Ц (例 What's Related Bill About 榔 বাচ Þ Ш Clear Bids Customers Batch Scheduler Submit **Due Date** Run on: Meter Readings Power System Go to: https://www.iso-ne.com File Upload Settlement energy-e∭change™ Communicator Help Settle All Hourly Markets
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Settle Installed Capability Market
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Confirm All Hourly Settlement Data
Prepare Bill
Print Bill Invoice
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Calculate Voting Shares
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55/81

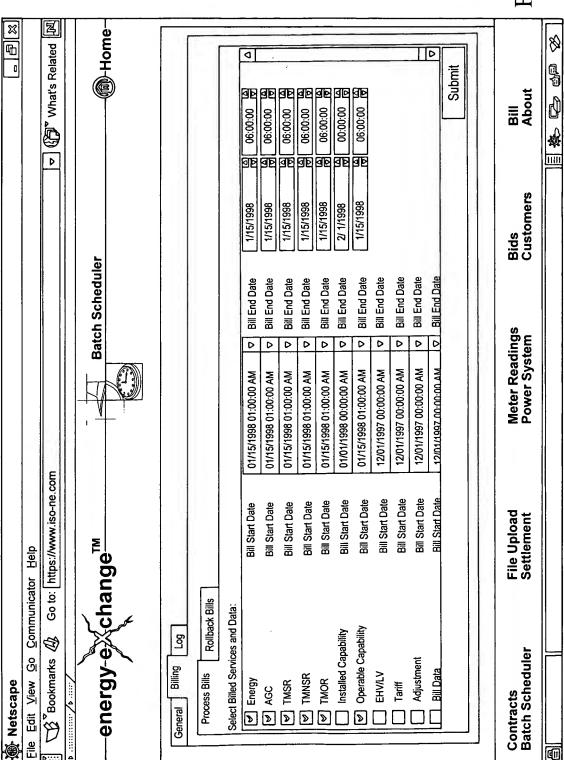


Patent Application for: METHOD AND SYSTEM FOR FACILITATING, COORDINATING AND MANAGING A COMPETITIVE MARKETPLACE Inventors: LARRY A. WINTER et al.

Inventors: LARRY A. WINTER et al.
Attorney Docket No. 10022/415 Serial No. 09/421,713
REPLACEMENT SHEET

56/81

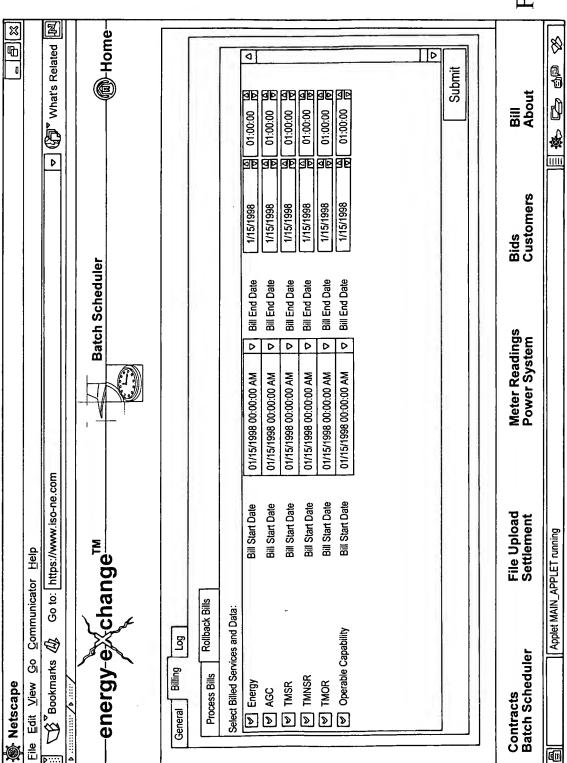
Fig. 57



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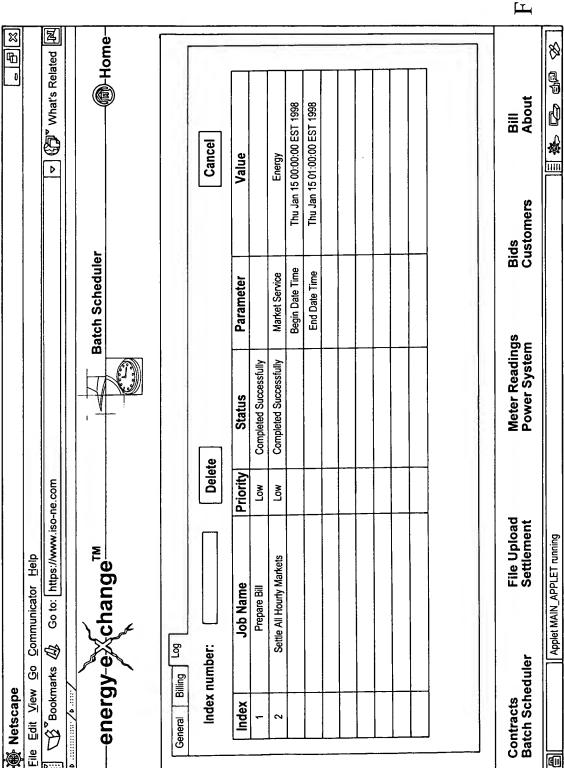
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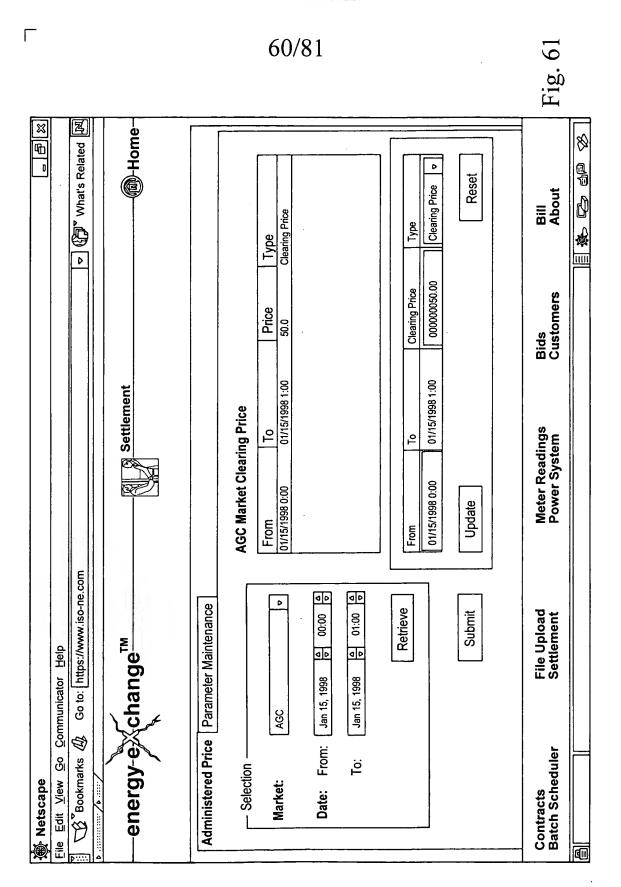


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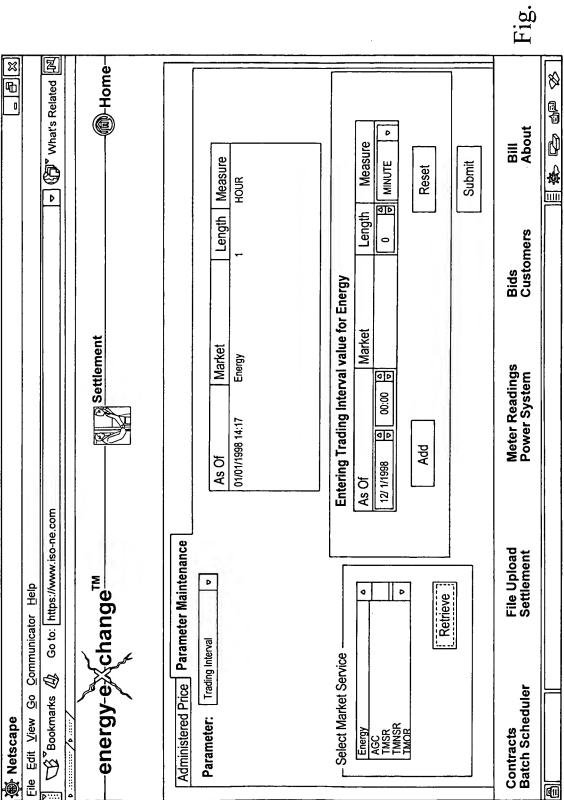


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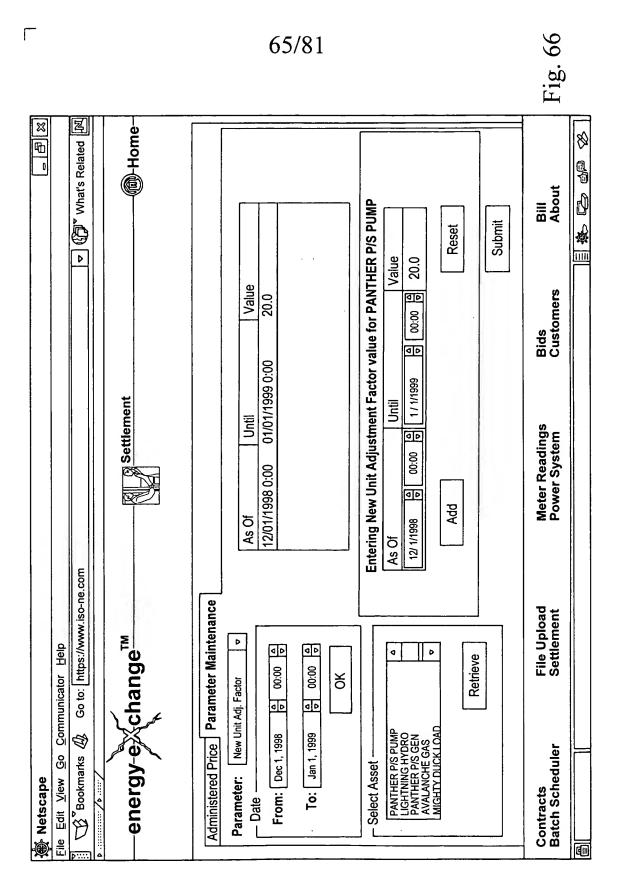
Fig. 62



Г Fig. 63 62/81 -Home (例 What's Related Bill About Submit Reset D Entering Hydro-Quebec Firm Energy Contract Rate Value Value 0.0 Value Bids Customers বাচ 00:00 ۵Þ 01/01/1999 0:00 1 / 1/1999 Settlement U E E E Meter Readings Power System ٥Þ 00:00 01/01/1998 0:00 ٥Þ Add As Of 1/1/1998 As Of Go to: https://www.iso-ne.com Parameter Maintenance File Upload Settlement energy-e∭change™ Communicator Help Parameter: HQ FEC 3 Administered Price Contracts Batch Scheduler File Edit View Go Bookmarks Netscape

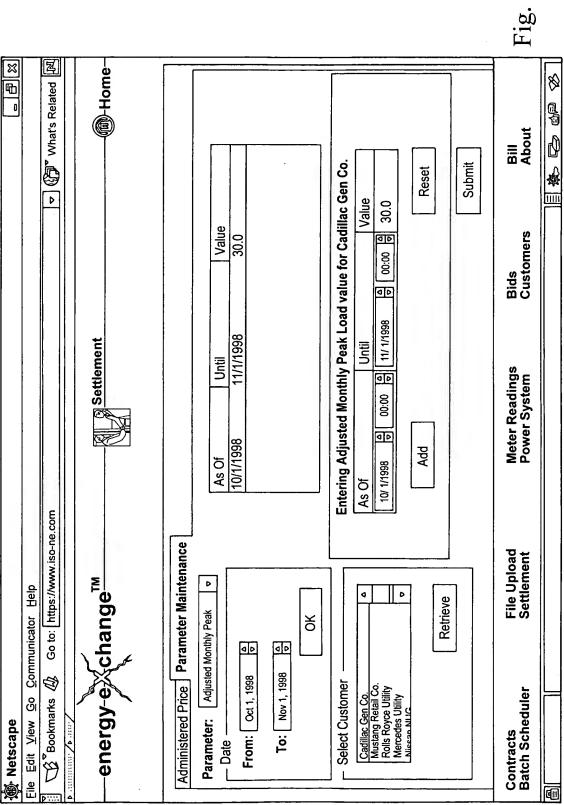
Г 63/81 **E** What's Related ö ၓ 8 Sep Bill About 22 Seo જ Aug Ġ S Aug Submit 22 Reset 马 D 45 ₹ May Jun Bids Customers 틸 4 May સ્ Apr Αp ೫ Mar Settlement **Entering ISO Objective Capability Value** Mar 22 Feb Meter Readings Power System Feb 8 Jan Jan 5 Dec ခိုင Add 9 No No Š 1994-1995 1995-1996 1996-1997 1997-1998 1998-1999 1998-1999 Go to: https://www.iso-ne.com Year Year Parameter Maintenance File Upload Settlement energy-e¾change™ Communicator Help ISO Objective Capability 웅 1 Administered Price Contracts Batch Scheduler Year: 1998-1999 File Edit View Go Bookmarks Parameter: ₩ Netscape

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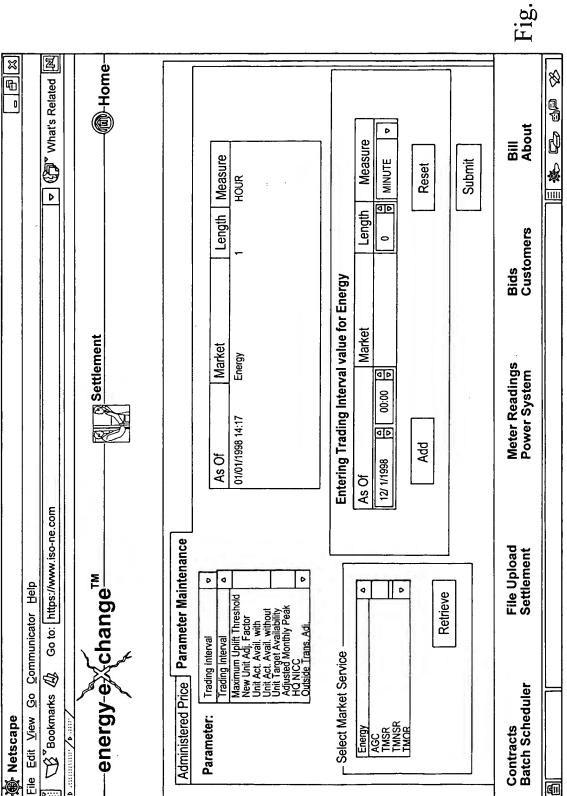
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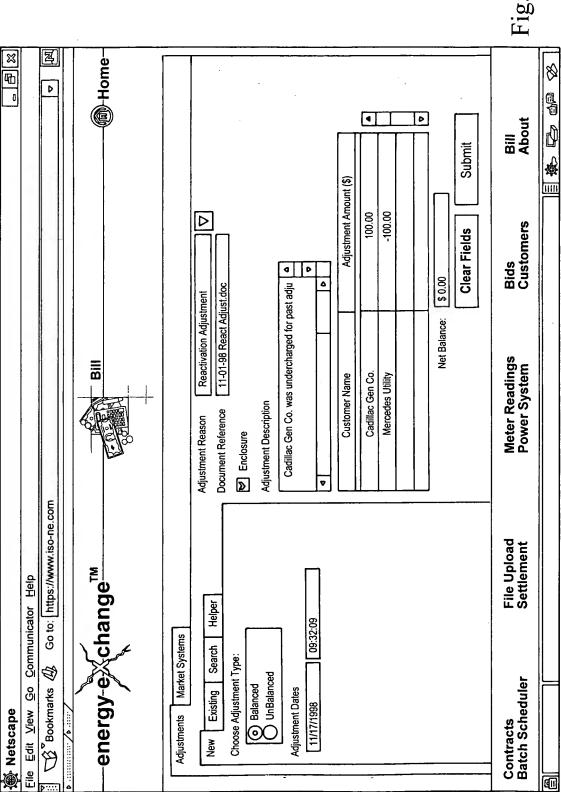
Fig. 69 68/81



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Fig. 70



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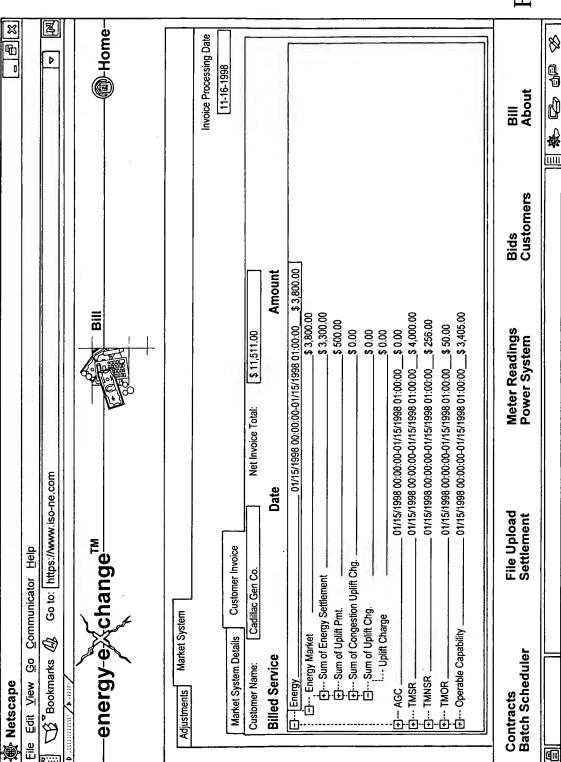
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Fig. 7

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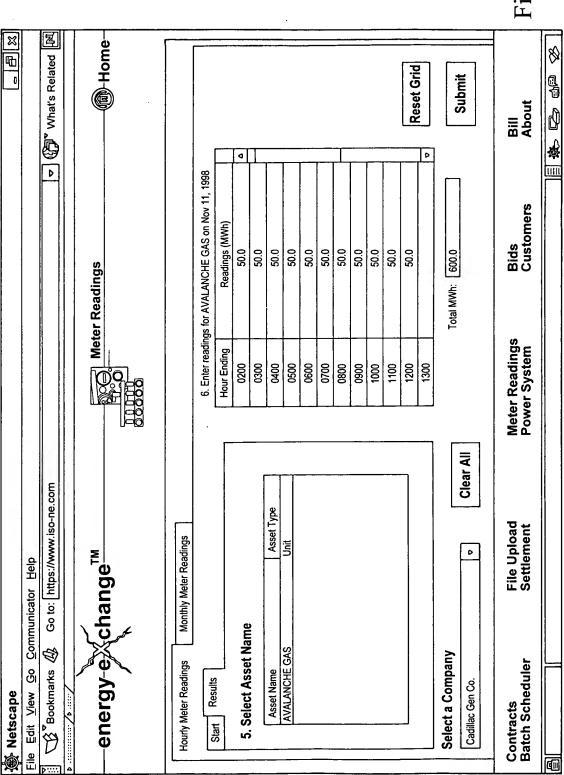
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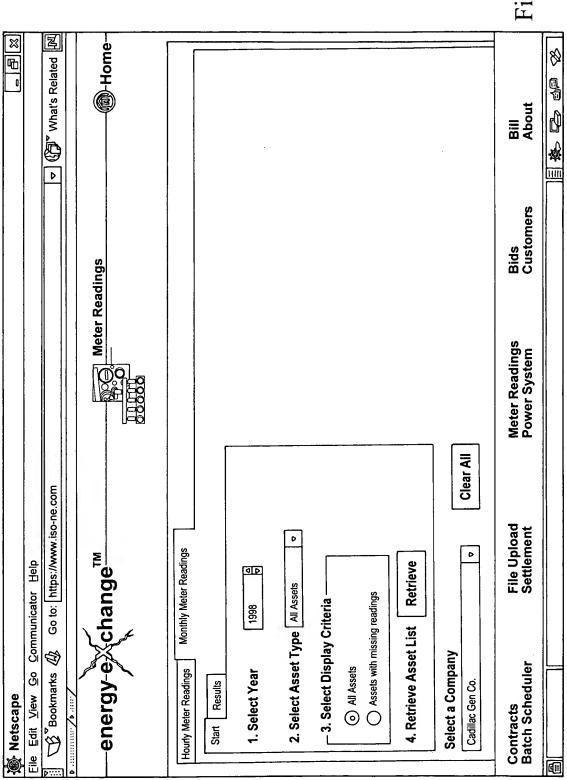
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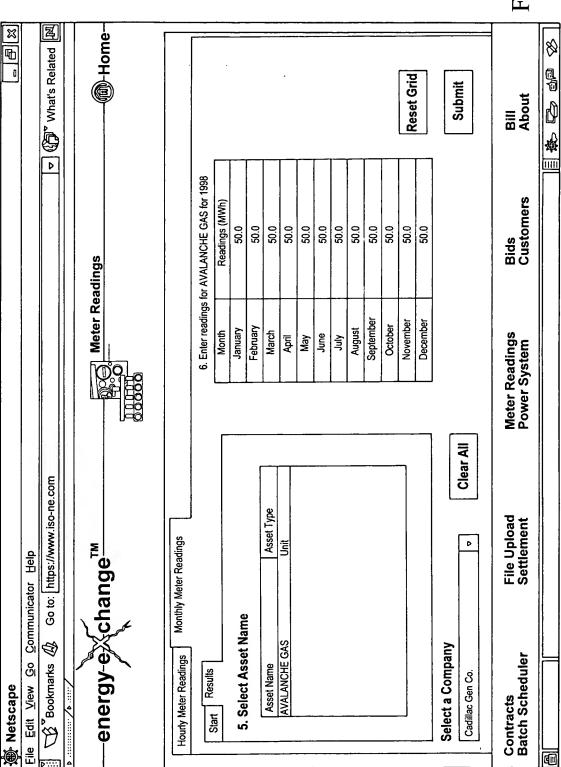


74/81



75/81

Fig. 76

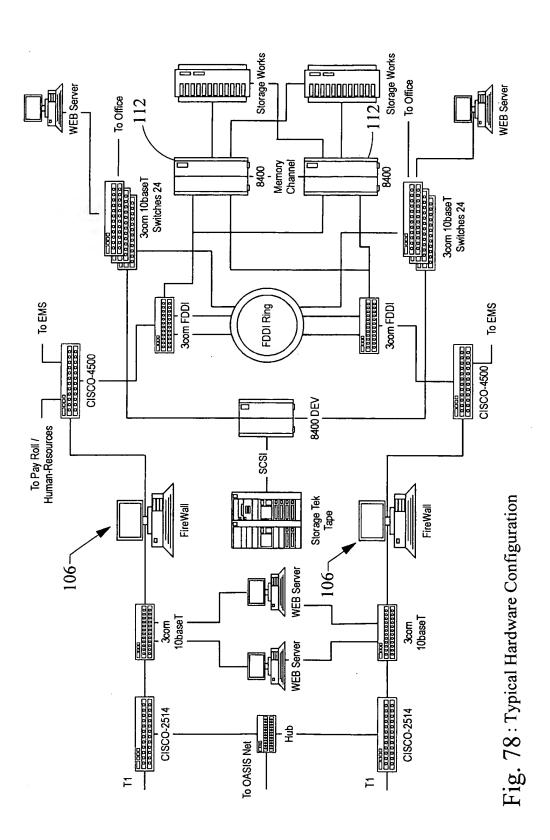


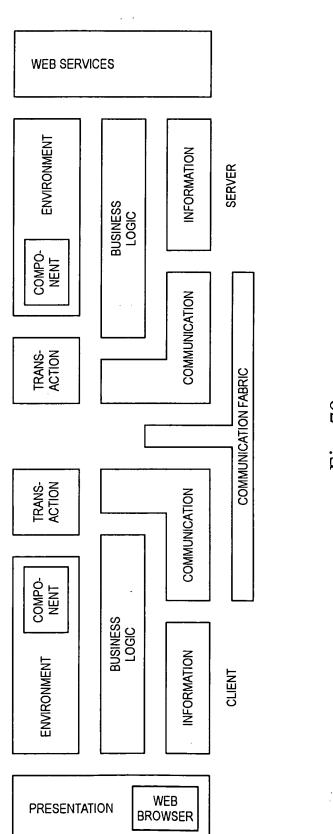
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76/81 100 Internet Intranet 114 116 102 112 Authentication Token Server / Firewall -106 **Application Server External Customer** - Energy eXchange™ Components - Java Virtual Machine Workstation - Object Request Broker - Energy eXchange™ Applets - Batch Scheduler - Security Card Reader 108 -104 Internal Customer Workstation - Energy eXchange[™] Applets 110 Web Server - Energy eXchange™ Applets **Developer Workstation** - Java Virtual Machine - Object Request Broker - Energy eXchange™ Applets - Java Development Software

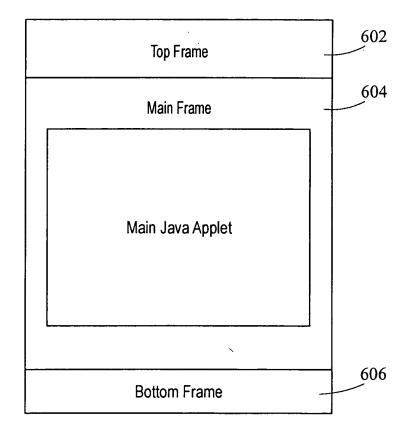
Fig. 77: Technical Architecture

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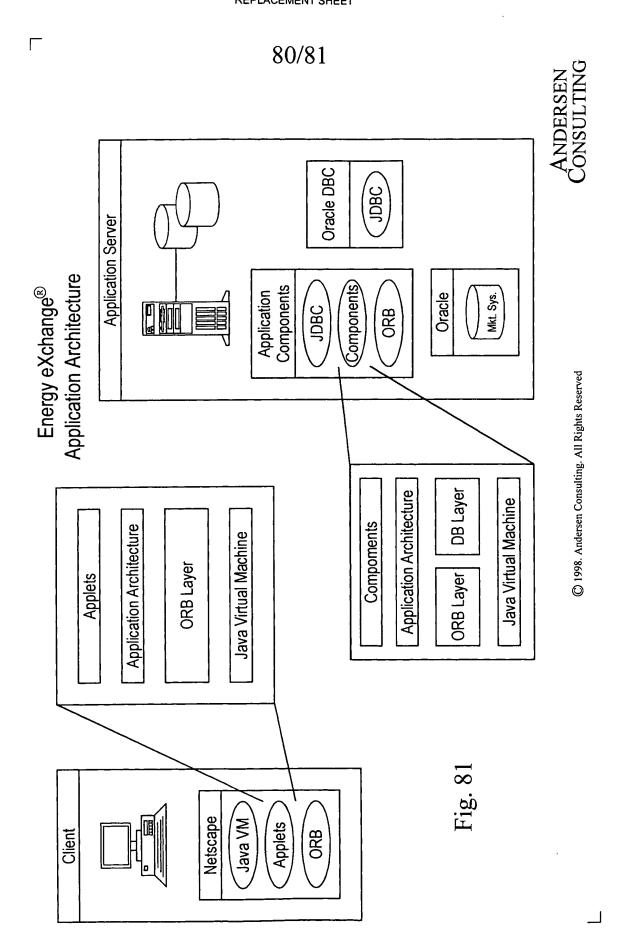


F1g. 79



 $Fig.\ 80: {\tt Basic\ UI\ Design}$

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